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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/864,383	
Filing Date	May 25, 2001	
First Named Inventor	BYE	
Group Art Unit	2163	
Examiner Name	n/a	
Total Number of Pages in This Submission	Attorney Docket Number	05222.00115

### ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response  <input type="checkbox"/> After Final  <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/ Incomplete Application  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application)  <input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition  <input type="checkbox"/> Petition to Convert to a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):  Response to Notice of Incomplete Reply Copy of Notice of Incomplete Reply 10 sheets of Informal Drawings Certificate of Mailing Return Postcard
<div>Remarks</div> <p>The Commissioner is hereby authorized to charge any fees required to Deposit Account No. 01-0850.</p>		

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Charles L. Miller (Reg. No. 43,805) Banner & Witcoff, Ltd
Signature	
Date	October 24, 2001

### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service, via First Class Mail, in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date:

Typed or printed name			
Signature		Date	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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**FEE TRANSMITTAL**  
**for FY 2001**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)  
4,744.00

## Complete if Known

Application Number 09/864,383

Filing Date May 25, 2001

First Named Inventor BYE

Examiner Name n/a

Group / Art Unit 2163

Attorney Docket No. 05222.00115

## METHOD OF PAYMENT (check one)

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit  
Account  
Number

01-0850

Deposit  
Account  
Name

BANNER &amp; WITCOFF, LTD.

- ☒
- Charge Any Additional Fee Required
- 
- Under 37 CFR 1.16 and 1.17
- 
- ☐
- Applicant claims small entity status.
- 
- See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:

☐ Check ☐ Credit card ☐ Money  
Order ☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	710.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
SUBTOTAL (1)					(\$) 710

## 2. EXTRA CLAIM FEES

Total Claims	213	-20**	=	193	X	Fee from below 18	=	Fee Paid 3474
Independent Claims	10	-3**	=	7	X	80	=	560
Multiple Dependent					X		=	0

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)  
4,034.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

Fee Code	Large Entity Fee (\$)	Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

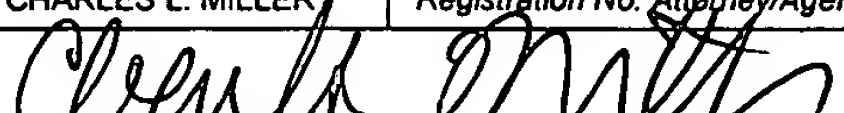
\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$)  
0

## SUBMITTED BY

## Complete (if applicable)

Name (Print/Type)	CHARLES L. MILLER	Registration No. Attorney/Agent)	43,805	Telephone	312-715-1000
Signature				Date	October 24, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

AS

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Attorney Docket No. 05222.00115)

In the Application of:

Jonathan Bye

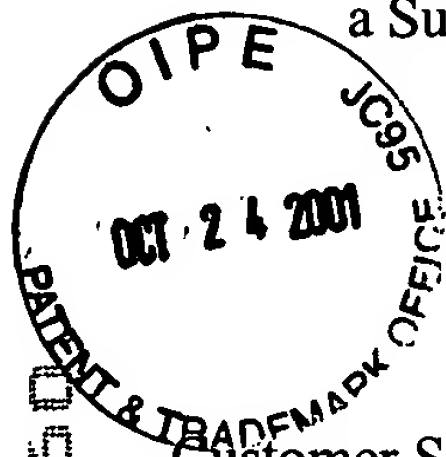
Serial No.: 09/864,383

Filed: May 25, 2001

For: System and Method and Interface for Evaluating  
a Supply Base of a Supply Chain

Group Art Unit: 2163

Examiner: n/a



RESPONSE TO NOTICE OF INCOMPLETE REPLY  
(NONPROVISIONAL)

Customer Service Center  
Initial Patent Examination Division  
Assistant Commissioner For Patents  
Washington, D.C. 20231

Sir:

In response to the Notice of Incomplete Reply (Non-Provisional) dated October 15, 2001 (copy attached), Applicant encloses herewith ten (10) sheets of informal drawings (Figures 1 through 16), reproduced in compliance with the provisions of 37 CFR 1.84(g).

The Commissioner is hereby authorized to charge the required filing fees of \$4,744.00, according to fees applicable during FY 2001 as the application was filed in May 2001, and any additional fee required under 37 CFR 1.16 and 1.17 to Deposit Account No. 01-0850.

12/11/2001 TV0111 00000003 010850 09864383

01 FC:115 110.00 CH

Respectfully submitted,

Date: October 24, 2001

By:

Charles L. Miller, Reg. No. 43,805

BANNER & WITCOFF, LTD  
Ten South Wacker Drive  
Chicago, Illinois 60606-7407  
(312) 715 1000

Attorney for Applicant



CERTIFICATE OF MAILING BY "EXPRESS MAIL"

Express Mail No. EL735119282US

Deposited October 24, 2001

I hereby certify that the attached correspondence, identified below, is being deposited with the United States Postal Service as "Express Mail Post Office to Addressee" under 37 CFR 1.10 on the date indicated above and is addressed to: Customer Service Center, Initial Patent Examination Division, Assistant Commissioner for Patents, Washington, DC 20231.

By:

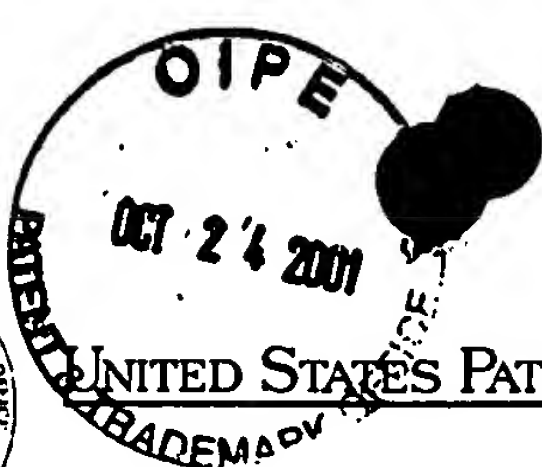
Tony Harris  
(person *actually* depositing)

Patent Application of: Jonathan Bye  
Serial No.: 09/864,383  
Title: System and Method and Interface for Evaluating a Supply Base  
of a Supply Chain

- ☒ Response to Notice of Incomplete Reply
- ☒ Copy of Notice of Incomplete Reply dated October 15, 2001
- ☒ Fee Transmittal Form FY2001 (in duplicate)
- ☒ Ten sheets of Informal Drawings (Fig. 1-16)
- ☒ Transmittal Letter
- ☒ Certificate of Mailing
- ☒ Return Postcard

Attorney Docket No.: 05222.00115

09864383-102401



12-04-01

# 5 Page 1 of 2

Sector

## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/864,383	05/25/2001	Jonathan Bye	05222.00115

CONFIRMATION NO. 1595

22907  
BANNER & WITCOFF  
1001 G STREET N W  
SUITE 1100  
WASHINGTON, DC 20001

## FORMALITIES LETTER



\*OC000000006910691\*

Date Mailed: 10/15/2001

## NOTICE OF INCOMPLETE REPLY (NONPROVISIONAL)

## Filing Date Granted

The U.S. Patent and Trademark Office has received your reply on 09/10/2001 to the Notice to File Missing Parts (Notice) mailed 07/24/2001 and it has been entered into the nonprovisional application. The reply, however, does not include the following items required in the Notice.

The period of reply remains as set forth in the Notice. You may, however, obtain EXTENSIONS OF TIME under the provisions of 37 CFR 1.136 (a) accompanied by the appropriate fee (37 CFR 1.17(a)).

A complete reply must be timely filed to prevent ABANDONMENT of the above-identified application.

The required items noted below SHOULD be filed along with any items required above. The filing date of this nonprovisional application will be the date of receipt of the items required above.

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$403412/06/2001 BABRAHA1 00000036 010850 09864383
  - \$3474 for 193 total claims over 20.
  - \$560 for 7 independent claims over 3.
- The balance due by applicant is \$ 4744.

01 FC:101	740.00 CH
02 FC:105	130.00 CH
03 FC:103	3474.00 CH
04 FC:102	588.00 CH

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:

Adjustment date: 12/11/2001 TV0111  
12/06/2001 BABRAHA1 00000036 010850 09864383

~~02 FC:105~~ ~~130.00 CH~~ drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

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*A copy of this notice MUST be returned with the reply.*

M. H.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

104201-884980